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**TELEFAX TRANSMITTAL**

**TO:** Office of Initial Patent Examination's Filing Receipt

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**FAX NO.:** (703) 746-9195

**FROM:** Kendrick Lo

**DATE:** July 19, 2004 **PAGES: 4**  
(Including cover sheet)

**File No.:** 11483-174  
**Lawyer No.:** 199

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# Bereskin & Parr

INTELLECTUAL PROPERTY LAW

July 19, 2004

Your Reference: 10/828,269  
Our Reference: 11483-174

By Fax <sup>746-9195</sup>  
~~703-308-7751~~

## REQUEST FOR FILING RECEIPT CORRECTION

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Attention: Office of Initial Patent Examination's Filing Receipt Corrections

Dear Sir:

Re: U.S. Patent Application No. 10/828,269  
For: RISK MANAGEMENT SYSTEM AND METHOD PROVIDING  
RULE-BASED EVOLUTION OF A PORTFOLIO OF A PORTFOLIO  
OF INSTRUMENTS  
Applicant: Jim DEGRAAF et al.  
Filed: April 21, 2004

Please correct the filing receipt for this application as indicated on the attached copy, with respect to the assignment being made to Algorithmics International Corp. This company is based in Bridgetown, BARBADOS, and not India.

Respectfully submitted,

By:   
Kendrick Lo  
Registration No. 54,948

/sh  
Encl.

*Please send all correspondence to the Toronto office:*

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Waterloo, Ontario, Canada N2L 3V3  
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## UNITED STATES PATENT AND TRADEMARK OFFICE

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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLMS	IND CLMS
10/828,269	04/21/2004	3624	788	11483-174	4	21	3

CONFIRMATION NO. 5446

001059

BERESKIN AND PARR

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40 KING STREET WEST-SUITE 4000 BOX 401

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BERESKIN &amp; PARR

FILING RECEIPT



\*OC000000013154047\*

Date Mailed: 07/06/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Jim Degraaf, Toronto, CANADA;  
Ben De Prisco, Woodbridge, CANADA;  
Antonin Dolezal, Toronto, CANADA;

## Assignment For Published Patent Application

Algorithmics International Corp., Bridgetown, ~~BARBADOS~~ <sup>BARBADOS</sup>

## Domestic Priority data as claimed by applicant

This application is a CON of 09/324,920 06/03/1999

## Foreign Applications

If Required, Foreign Filing License Granted: 07/06/2004

Projected Publication Date: 10/14/2004

Non-Publication Request: No

Early Publication Request: No

Title

Risk management system and method providing rule-based evolution of a portfolio of instruments

Preliminary Class

705

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